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Poznan strategic programme on technology transfer

Evaluation of the Poznan strategic programme on technology transfer: interim report by the Technology Executive Committee

Summary

The Technology Executive Committee (TEC) was mandated to evaluate the Poznan strategic programme on technology transfer with the aim of enhancing the effectiveness of the Technology Mechanism. The TEC has prepared this document, its interim report on this evaluation, in response to a mandate given to it by the Subsidiary Body for Implementation (SBI) at its forty-first session. This document contains information on the progress of work of the TEC in the evaluation in the first half of 2015 and the preliminary outcomes of this evaluation. It also contains, in the annex, the terms of reference for the evaluation. The TEC will provide a final report on the evaluation of the Poznan strategic programme to the Conference of the Parties, at its twenty-first session, through SBI 43. The SBI is invited to take note of this interim report with a view to considering a final report on the evaluation of the Poznan strategic programme at SBI 43.

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Contents

		Paragraphs	*Page*
I.	Introduction	1–4	3
	A. Mandate	1–2	3
	B. Scope of the note	3	3
	C. Possible action by the Subsidiary Body for Implementation	4	3
II.	Background	5–9	3
III.	Progress of work	10–15	4
IV.	Preliminary outcomes	16–29	5
	A. Planning and design	18	5
	B. Data collection	19–29	6
V.	Next steps	30	8
Annex			
	Terms of reference for the evaluation of the Poznan strategic programme on technology transfer		9

I. Introduction

A. Mandate

1. The Subsidiary Body for Implementation (SBI), at its fortieth session, invited the Technology Executive Committee (TEC) to evaluate the Poznan strategic programme on technology transfer (PSP) with the aim of enhancing the effectiveness of the Technology Mechanism, and to report back on the matter to the Conference of the Parties (COP), at its twentieth session.[1] In its report to COP 20, the TEC acknowledged that additional time would be required to evaluate the PSP.[2]

2. SBI 41 noted that the TEC would undertake the evaluation of the PSP in 2015, guided by the terms of reference that were to be developed by a TEC task force on this matter. It invited the TEC to provide an interim report on its preliminary findings to SBI 42 and a final report to COP 21 through SBI 43.[3]

B. Scope of the note

3. This document is the interim report of the TEC on the evaluation of the PSP. It contains information on the progress made by the TEC in the evaluation in the first half of 2015 and on the preliminary outcomes of the evaluation. The annex contains the terms of reference for the evaluation.

C. Possible action by the Subsidiary Body for Implementation

4. The SBI is invited to take note of this interim report with a view to considering a final report on the evaluation of the PSP at SBI 43.

II. Background

5. COP 13 requested the Global Environment Facility (GEF) to elaborate a strategic programme for scaling up the level of investment for technology transfer. This was undertaken with the aim of helping developing countries to address their needs for environmentally sound technologies.[4]

6. In 2008, the GEF Council approved a strategic programme on technology with funding of USD 50 million. The programme had the following three funding windows:

(a) Technology needs assessments (TNAs);

(b) Piloting priority technology projects linked to TNAs;

(c) Dissemination of GEF experience and successfully demonstrated environmentally sound technologies.[5]

7. COP 14 welcomed this strategic programme and renamed it the "Poznan strategic programme on technology transfer". It requested the GEF to, inter alia, consider the long-term implementation of the PSP and report back on the progress made to COP 16.[6]

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[1] FCCC/SBI/2014/8, paragraph 142.
[2] FCCC/SB/2014/3, paragraph 51.
[3] FCCC/SBI/2014/21, paragraph 88.
[4] Decision 4/CP.13, paragraph 3.
[5] FCCC/SBI/2015/INF.4, annex, paragraph 16.

8. At COP 16, the GEF reported on the long-term implementation of the PSP.[7] This plan consisted of the following five elements:[8]

(a) Support for climate technology centres and a climate technology network;

(b) Piloting priority technology projects to foster innovation and investments;

(c) Public–private partnership for technology transfer;

(d) TNAs;

(e) The GEF as a catalytic supporting institution for technology transfer.

9. COP 16 established the Technology Mechanism to facilitate enhanced action on technology development and transfer. It mandated the TEC and the Climate Technology Centre and Network (CTCN), in accordance with their respective functions, to facilitate the effective implementation of the Technology Mechanism, under the guidance of the COP.[9]

III. Progress of work

10. In the first half of 2015, the TEC undertook a number of activities as part of its evaluation of the PSP. Many of these activities were undertaken by an internal TEC task force established in 2014 to facilitate the evaluation. Activities that the TEC undertook include: (a) a conference call between members of the internal TEC task force on the evaluation; (b) e-mail exchanges between members of the TEC; (c) consideration of the issue at its 10th meeting; and (d) preparation and finalization of its interim report to SBI 42. In addition, at its 10th meeting the TEC held a meeting with the GEF and other key stakeholders on the PSP evaluation. Participants included the TEC Chair and Vice-Chair, the TEC task force and representatives of the GEF, the CTCN and the UNFCCC secretariat.

11. The purpose of the stakeholder meeting was to:

(a) Discuss the objectives, scope of work and expected outcomes of the evaluation;

(b) Invite the GEF to provide an overview of the background, status and lessons learned from the implementation of the PSP;

(c) Discuss the evaluation process, including:

(i) The terms of reference for the evaluation (see the annex);

(ii) The methodologies and process of the evaluation;

(iii) The information sources for the evaluation;

(d) Discuss the activities and timelines of the TEC and its internal task force;

(e) Discuss the next steps.

12. In this stakeholder meeting, participants noted that, in accordance with the SBI 40 mandate, the evaluation should be both backward-looking (the TEC should evaluate the PSP) and forward-looking (the aim is to enhance the effectiveness of the Technology Mechanism). They also noted that as it evaluates the PSP, the TEC should take into account

[6] Decision 2/CP.14, paragraphs 1 and 2.

[7] FCCC/SBI/2010/25.

[8] The GEF noted that three of the long-term elements (TNAs, piloting projects and the GEF as a catalytic supporting institution) are a direct continuation and scaling-up of the three elements of the initial PSP (see paragraph 6 above). Refer to document FCCC/CP/2013/3, annex, paragraph 140.

[9] Decision 1/CP.16, paragraph 118.

the fact that the PSP was created before the establishment of the Technology Mechanism. With this in mind, in undertaking the evaluation, the TEC should also consider:

(a) The need to enhance complementarity and avoid duplication in the work of the PSP and the Technology Mechanism;

(b) Possible synergies between the PSP and the Technology Mechanism.

13. Participants in this stakeholder meeting also underlined that, as it undertakes the evaluation, the TEC should consult Parties, the Green Climate Fund, GEF implementing agencies and other actors. Participants noted that the Green Climate Fund will be a key partner in the future work of the Technology Mechanism.

14. As an outcome of the meeting, the GEF and the CTCN were invited to provide information on certain elements of their work, and it was agreed that the TEC could draw on this information as it evaluates the PSP. These elements are as follows:

(a) Backward-looking elements: programmatic data, and lessons learned and experiences gained relevant to the evaluation of the PSP;

(b) Forward-looking elements: suggestions on how the GEF and the CTCN see themselves evolving in the future in order to enhance technology development and transfer in the UNFCCC process.

15. At its 10th meeting, the TEC considered its progress in the PSP evaluation. It reviewed and finalized the terms of reference for the evaluation, as contained in the annex. The TEC also considered the indicative structure of the interim report to be submitted to SBI 42. It gave guidance to its internal task force on the intersessional work yet to be undertaken on the evaluation and requested it to draft a final report on the evaluation for consideration by the TEC at its 11th meeting, to be held from 7 to 11 September 2015. The TEC finalized the interim report in the intersessional period following the conclusion of its 10th meeting.

IV. Preliminary outcomes

16. The TEC has commenced its evaluation of the PSP and will provide a final report on its evaluation to COP 21 through SBI 43. In accordance with the terms of reference for the evaluation, the first stages of the process, resulting in preliminary outcomes, are as follows:

(a) Planning and design: agreement on the evaluation's elements, such as scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports.

17. These preliminary outcomes, to be further refined and enhanced during the course of the evaluation, are outlined in chapter IV.A and B below.

A. Planning and design

18. The key document that the TEC prepared during the planning and design stage was the terms of reference for the evaluation, contained in the annex. The terms of reference specify the evaluation's aim, scope of work, process, activities, information sources and timing.

B. Data collection

19. With regard to data collection, the TEC has, to date, collected the following information on past and present work under the PSP.

20. The TEC notes that it will continue to collect data and information, including from the sources noted in the terms of reference, as required to effectively undertake the evaluation.

1. Support from the Global Environment Facility for the activities of the Climate Technology Centre and Network

21. To support the activities of the CTCN, in accordance with decision 2/CP.17, paragraph 140, in June 2014 the Chief Executive Officer of the GEF approved a project concept proposal submitted by the United Nations Industrial Development Organization for a project titled "Promoting accelerated transfer and scaled up deployment of mitigation technologies through the Climate Technology Centre & Network (CTCN)".[10] The GEF anticipates that the project will be endorsed by mid-2015. The project is expected to serve as a pilot that highlights options for the development of CTCN-related outputs into projects with concrete mitigation benefits under the sixth replenishment of the GEF. These projects would use GEF country allocations and be undertaken in a country-driven manner.

22. The CTCN project named in paragraph 21 above is also expected to help the CTCN to design and test a framework for working with financing institutions. The framework's purpose is to help developing countries to design requests that comply with the requirements of financing institutions and are thus likely to attain financial support and achieve implementation.[11]

2. Overview of past and present work under the Poznan strategic programme on technology transfer

(a) Support for climate technology centres and a climate technology network

23. The GEF provides financial support for four regional climate technology centres. The Pilot Asia-Pacific Climate Technology Network and Finance Center, managed jointly by the Asian Development Bank and the United Nations Environment Programme (UNEP), supports countries in the Asia-Pacific region in addressing barriers to climate technology development and transfer. Another regional centre project that the GEF supports is the Finance and Technology Transfer Centre for Climate Change, implemented by the European Bank for Reconstruction and Development. This centre works with countries with economies in transition in Eastern Europe to incentivize the deployment of climate technologies.

24. The GEF also supports the Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean Initiative, administered by the Inter-American Development Bank. This regional climate technology centre promotes the development and transfer of environmentally sustainable technologies in Latin America and the Caribbean. Finally, the GEF supports the Pilot African Climate Technology Finance Center and Network implemented by the African Development Bank. This centre supports the deployment of technologies for both climate change mitigation and adaptation in sub-Saharan Africa.[12]

[10] See <http://goo.gl/PWul0Q>.
[11] FCCC/SBI/2015/INF.4, annex, appendix 1, paragraphs 5 and 6.
[12] FCCC/SBI/2015/INF.4, annex, appendix 1.

25. The GEF and the CTCN are collaborating to enable the regional development banks to share experiences gained and lessons learned in implementing the regional centre projects. This sharing of information aims to, inter alia, facilitate joint efforts and potential cooperation among development agencies and the Technology Mechanism in order to accelerate climate technology transfer.[13]

(b) Piloting priority technology projects to foster innovation and investments

26. The GEF issued a call for proposals on technology transfer in 2009.[14] This resulted in the selection of 14 pilot projects, which have received USD 58 million from the GEF. The majority of the projects support mitigation action; one is focused on adaptation and three have adaptation elements. Eleven of these projects have been approved and are now being implemented in Cambodia, Chile, China, Côte d'Ivoire, Jordan, Mexico, the Russian Federation, Senegal, Sri Lanka and Thailand. Three of the selected projects were cancelled by the implementing agency or recipient country.[15] Some of the regional climate technology centres supported by the GEF are also supporting pilot projects on technology transfer.

(c) Public–private partnership for technology transfer

27. During the fifth replenishment period of the GEF, the GEF Council approved four public–private partnership programmes related to climate technology transfer. The total GEF support for these programmes was USD 65 million.[16] In addition, the regional technology centres include activities related to public–private engagement.

(d) Technology needs assessments

28. Since 2009, the GEF has provided financial support to assist developing country Parties in developing or updating their TNAs. The GEF provided funding of USD 9 million to the global TNA project, phase I, to assist 36 developing country Parties with their TNAs. The GEF is now providing USD 6.1 million to the global TNA project, phase II, to assist 28 developing country Parties. Both of the phases are implemented by UNEP and the UNEP–Technical University of Denmark Partnership.[17] In addition, between September 2011 and March 2015, the GEF supported 13 national projects which incorporate TNA support activities. These projects were funded through country allocations.[18]

(e) The Global Environment Facility as a catalytic supporting institution for technology transfer

29. The GEF reports active participation in global efforts to support climate technology transfer, including through participation in dialogues of the UNFCCC secretariat and in consultations with the CTCN. The GEF notes that it has also sought to facilitate learning across the regional centres, including through periodic informal coordination meetings. Furthermore, it has sought to disseminate information on its ongoing initiatives and facilitate a continued focus on climate technology transfer.[19]

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[13] FCCC/CP/2014/2/Add.1, annex, paragraph 8.
[14] FCCC/SBI/2015/INF.4, annex, paragraph 23.
[15] FCCC/SBI/2015/INF.4, annex, paragraph 25. Information on the cancellation of these projects may be found in document FCCC/SBI/2015/INF.4, annex, appendix 3.
[16] FCCC/CP/2014/2, annex, paragraph 139.
[17] FCCC/SBI/2015/INF.4, annex, paragraphs 35–39.
[18] Information provided by the GEF secretariat.
[19] FCCC/CP/2014/2, annex, paragraphs 147 and 148.

V. Next steps

30. The TEC is currently undertaking the evaluation of the PSP, with the aim of submitting a final report to COP 21 through SBI 43, in accordance with the SBI 41 mandate. In the evaluation, the TEC is following the process outlined in chapter III of the terms of reference for the evaluation. It is currently collecting additional data relevant to the evaluation after which it will: (a) review and analyse all relevant data and information collected; (b) develop recommendations based on the review and analysis, and identify possible next steps; and (c) complete the compilation of the final report.

Annex

Terms of reference for the evaluation of the Poznan strategic programme on technology transfer

I. Aim

1. The aim of the evaluation of the Poznan strategic programme on technology transfer (PSP) is to enhance the effectiveness of the Technology Mechanism.

II. Scope of work

2. The scope of the PSP evaluation should cover the following:

(a) The effectiveness and efficiency of the PSP in meeting Party needs, including factors affecting the programme's outcomes;

(b) The operations of the PSP in terms of:

(i) Scaling up and replicating projects;

(ii) Its relevance in addressing global and regional issues;

(iii) Its effectiveness and evolution as a model of change;

(c) The progress made and lessons learned in implementing the PSP, as relevant to the operationalization of the Technology Mechanism;

(d) Mandates: overlap and complementarity in the mandates of the PSP and the Technology Mechanism;

(e) Activities: overlap, complementarity and synergies between activities undertaken under the PSP and the Technology Mechanism;

(f) Possible ways of improving the PSP in order to enhance the effectiveness of the Technology Mechanism.

III. Process

3. The process for undertaking the PSP evaluation should include the following:

(a) Planning and design: agreement on the evaluation's elements, such as scope, activities, information sources and timing;

(b) Data collection: extraction of information from all relevant and available reports. Data collection may include a literature review that may refine the evaluation's scope and research of relevant evaluations, case studies and publications;

(c) Review and analysis: undertaking of a review and meta-analysis of the information contained in all relevant recent evaluations produced by the Global Environment Facility (GEF) and the UNFCCC secretariat;

(d) Development of recommendations: on the basis of the review and analysis, followed by the identification of possible next steps;

(e) Report writing.

IV. Activities

4. The PSP evaluation should comprise the following tasks:

(a) Data collection: collection and review of information on the activities of the PSP of relevance to the Technology Mechanism;

(b) Review and analysis:

(i) Review of the implementation by the GEF of all decisions of the Conference of the Parties (COP) and conclusions of the Subsidiary Body for Implementation (SBI) on the PSP of relevance to the Technology Mechanism;

(ii) Review of the progress by the GEF in implementing activities under the PSP of relevance to the Technology Mechanism;

(iii) Analysis of how the PSP has contributed to scaling up the level of investment in the transfer of environmentally sound technologies to developing countries;

(iv) Identification of experiences gained and lessons learned from the implementation of the PSP of relevance to the Technology Mechanism;

(v) Identification of lessons that could be learned from the PSP of relevance to the operationalization of the Technology Mechanism;

(c) Development of draft recommendations:

(i) Consideration of how to enhance synergy between the work of the PSP and of the Technology Mechanism;

(ii) Evaluation of the PSP (drawing on the information above) in the context of enhancing the effectiveness of the Technology Mechanism, including by preparing draft recommendations on the next steps;

(d) Report writing:

(i) Preparation of a final report on the evaluation's outcomes;

(ii) Highlighting of limitations related to the evaluation, such as challenges related to the accessibility of data.

V. Information sources

5. The PSP evaluation will be based on information requested from Parties and the GEF and its agencies. Information for the evaluation should be drawn from, inter alia:

(a) Relevant COP decisions and SBI conclusions;

(b) GEF reports on progress in implementing the PSP, including project reports;

(c) Reports of the TEC and the Climate Technology Centre and Network;

(d) Information shared by the GEF in the process of consultation with the internal TEC task force;

(e) Information shared by the Climate Technology Centre and Network during consultations with the internal TEC task force;

(f) Information shared by external experts and stakeholders, including Parties, beneficiary countries of the PSP, GEF agencies and international financial institutions;

(g) Third party reviews of the PSP.

VI. Timing

6. An interim report on the Technology Executive Committee's preliminary findings on the evaluation should be prepared for consideration at SBI 42.

7. A final report on the evaluation by the TEC should be forwarded to COP 21 through SBI 43.